



PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0551-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 1

Complete if Known

Application Number	10/799838
Filing Date	Mar 12, 2004
First Named Inventor	Randy Hoffman
Art Unit	2814
Examiner Name	Long Pham
Attorney Docket Number	200316548-1

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
LP		US- 5,744,864	04-28-1998	Cillessen	
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				

Examiner
Signature

LONG PHAM

Date
Considered

12/6/05

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

PATENT APPLICATION

Sheet 1 of 6

<p>FORM PTO-1449</p> <p>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</p> <p>(Use several sheets if necessary)</p>	<p>ATTY. DOCKET NO. 200316548-1</p>	<p>APPLICATION NO.</p>	<p>CONFIRMATION NO.</p>
<p>APPLICANT Randy L. Hoffman, et al.</p>			
<p>FILING DATE Herewith</p>		<p>GROUP</p>	

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
LP	1A	5,744,864	08/28/1998	Cillessen, et al.	
	1B	2003/0047785	03/13/2003	Kawasaki, et al.	
	1C	2003/0111663	06/19/2003	Yagi	
	1D	2003/0218221	11/27/2003	Wager, III, et al.	
	1E	2003/0218222	11/27/2003	Wager, III, et al.	
	1F	60/490,239	07/25/2003		Transparent Thin Film Transistor with Zinc-Tin Oxide Channel...
	1G	10/763,353	01/23/2004		Semiconductor Device
	1H	10/763,354	01/23/2004		Transistor Including a Deposited Channel Region Having a...
	1I				
	1J				
	1K				

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
LP	1L	WO 97/06544	02/20/1997	Cillessen, et al.		
LP	1M	EP1134811	06/19/2001	Kawasaki, et al.		
	1N					
	1O					
	1P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

LP	1Q	Aoki, Akira, et al., "Tin Oxide Thin Film Transistors", Japan J. Appl. Phys., Vol. 9, p.582 (1970).
	1R	Carcia, P.F., et al., "Transparent ZnO thin-film transistor fabricated by rf magnetron sputtering", Applied Physics Letters, Vol. 82, No. 7, pp. 1117-1119 (February 17, 2003).
	1S	Carcia, P.F., et al., "ZnO Thin Film Transistors for Flexible Electronics", Mat. Res. Soc. Symp. Proc., Vol. 769, pp. H72.1-H72.6 (2003).

<p>EXAMINER Long PHAM</p>	<p>DATE CONSIDERED 12/06/05</p>
--------------------------------------	--

PATENT APPLICATION

Sheet 2 of 6

FORM PTO-1449 LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.	CONFIRMATION NO.
	200316548-1		
	APPLICANT		
	Randy L. Hoffman, et al.		
	FILING DATE	GROUP	
	Herewith		

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	2A				
	2B				
	2C				
	2D				
	2E				
	2F				
	2G				
	2H				
	2I				
	2J				
	2K				

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	2L					
	2M					
	2N					
	2O					
	2P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

LP ↓	2Q	Fu, Shelton, et al., "MOS and MOSFET with Transistion Metal Oxides", SPIE Vol. 2697, pp. 520-527.
	2R	Giesbers, J.B., et al., "Dry Etching of All-Oxide Transparent Thin Film Memory Transistors", Microeletronic Engineering, Vol. 35, pp. 71-74 (1997).
	2S	Grosse-Holz, K.O., et al. "Semiconductive Behavior of Sb Doped SnO2 Thin Films", Mat. Res. Soc. Symp. Proc., Vol. 401, pp. 67-72 (1996).

EXAMINER

Long PHAM

DATE CONSIDERED

12/6/05

PATENT APPLICATION

Sheet 3 of 6

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

200316548-1

APPLICATION NO.

CONFIRMATION NO.

APPLICANT

Randy L. Hoffman, et al.

FILING DATE

Herewith

GROUP

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	3A				
	3B				
	3C				
	3D				
	3E				
	3F				
	3G				
	3H				
	3I				
	3J				
	3K				

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	3L					
	3M					
	3N					
	3O					
	3P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

LP ↓	3Q	Hoffman, R.L., et al., "ZnO-based transparent thin-film transistors", Applied Physics Letters, Vol. 82, No. 5, pp. 733-735 (February 3, 2003).
	3R	Masuda, Satoshi, et al., "Transparent thin film transistors using ZnO as an active channel layer and their electrical properties", Journal of Applied Physics, Vol. 93, No. 3, pp. 1624-1630 (February 1, 2003).
	3S	Nishi, Junya, et al., "High Mobility Thin Film Transistors with Transparent ZnO Channels", Jpn. J. Appl. Phys., Vol. 42, Part 2, No. 4A, pp. L347-L349 (April, 2003).

EXAMINER

Long Pham

DATE CONSIDERED

12/6/05

FORM PTO-1449 LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.	CONFIRMATION NO.
	200316548-1		
	APPLICANT		
	Randy L. Hoffman, et al.		
	FILING DATE	GROUP	
	Herewith		

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	4A				
	4B				
	4C				
	4D				
	4E				
	4F				
	4G				
	4H				
	4I				
	4J				
	4K				

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	4L					
	4M					
	4N					
	4O					
	4P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

LP ↓	4Q	Ohya, Yutaka, et al., "Thin Film Transistor of ZnO Fabricated by Chemical Solution Deposition", Jpn. J. Appl. Phys., Vol. 40, Part 1, No. 1, pp. 297-298 (January, 2001).
	4R	Pallecchi, Ilaria, et al. "SrTiO ₃ -based metal-insulator-semiconductor heterostructures" Applied Physics Letters, Vol. 78, No. 15, pp. 2244-2246 (April 9, 2001).
	4S	Prins, M. W. J., et al., "A ferroelectric transparent thin-film transistor", Appl. Phys. Lett., Vol. 68, No. 25, pp. 3650-3652 (June 17, 1996).

EXAMINER

Long Pham

DATE CONSIDERED

12/6/05

PATENT APPLICATION

Sheet 5 of 6

FORM PTO-1449 LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO. 200316548-1	APPLICATION NO.	CONFIRMATION NO.
APPLICANT Randy L. Hoffman, et al.			
FILING DATE Herewith		GROUP	

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	5A				
	5B				
	5C				
	5D				
	5E				
	5F				
	5G				
	5H				
	5I				
	5J				
	5K				

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	5L					
	5M					
	5N					
	5O					
	5P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

LP	5Q	Seager, C.H., et al., "Charge Trapping and device behavior in ferroelectric memories", Appl. Phys. Lett., Vol. 68, No. 19, pp. 2660-2662 (May 6, 1996).
↓	5R	Uneno, K., et al. "Field-effect transistor on SrTiO3 with sputtered Al2O3 gate insulator", Applied Physics Letters, Vol. 83, No. 9, pp. 1755-1757 (September 1, 2003).
↓	5S	Wöllenstein, Jürgen, et al., "An insulated gate thin-film transistor using SnO2 as semiconducting channel, a possible new gas sensor device" The 11th European Conference on Solid State Transducers, pp. 471-474 (September 21-24, 1997).

EXAMINER

Long Pham

DATE CONSIDERED

12/6/05

PATENT APPLICATION

Sheet 6 of 6

FORM PTO-1449 LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.	CONFIRMATION NO.
	200316548-1		
	APPLICANT		
	Randy L. Hoffman, et al.		
	FILING DATE	GROUP	
	Herewith		

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	6A				
	6B				
	6C				
	6D				
	6E				
	6F				
	6G				
	6H				
	6I				
	6J				
	6K				

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	6L					
	6M					
	6N					
	6O					
	6P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

LP ↓ ↓	6Q	Yoshida, A., "Three Terminal Field Effect Superconducting Device Using SrTiO ₃ Channel" IEEE Transactions on Applied Superconductivity, Vol. 5, No. 2, pp. 2892-2895 (June, 1995).
	6R	Solid-State Electronics, Vol. 7, Pergamon Press, Notes pp. 701-702 (1964).
	6S	Anonymous, "Transparent and/or memory thin film transistors in LCD's and PLED's" Research Disclosure, p. 890 (July 1998).

EXAMINER

Long PHAM

DATE CONSIDERED

12/6/05